

FIG. 1

Client Module  
122

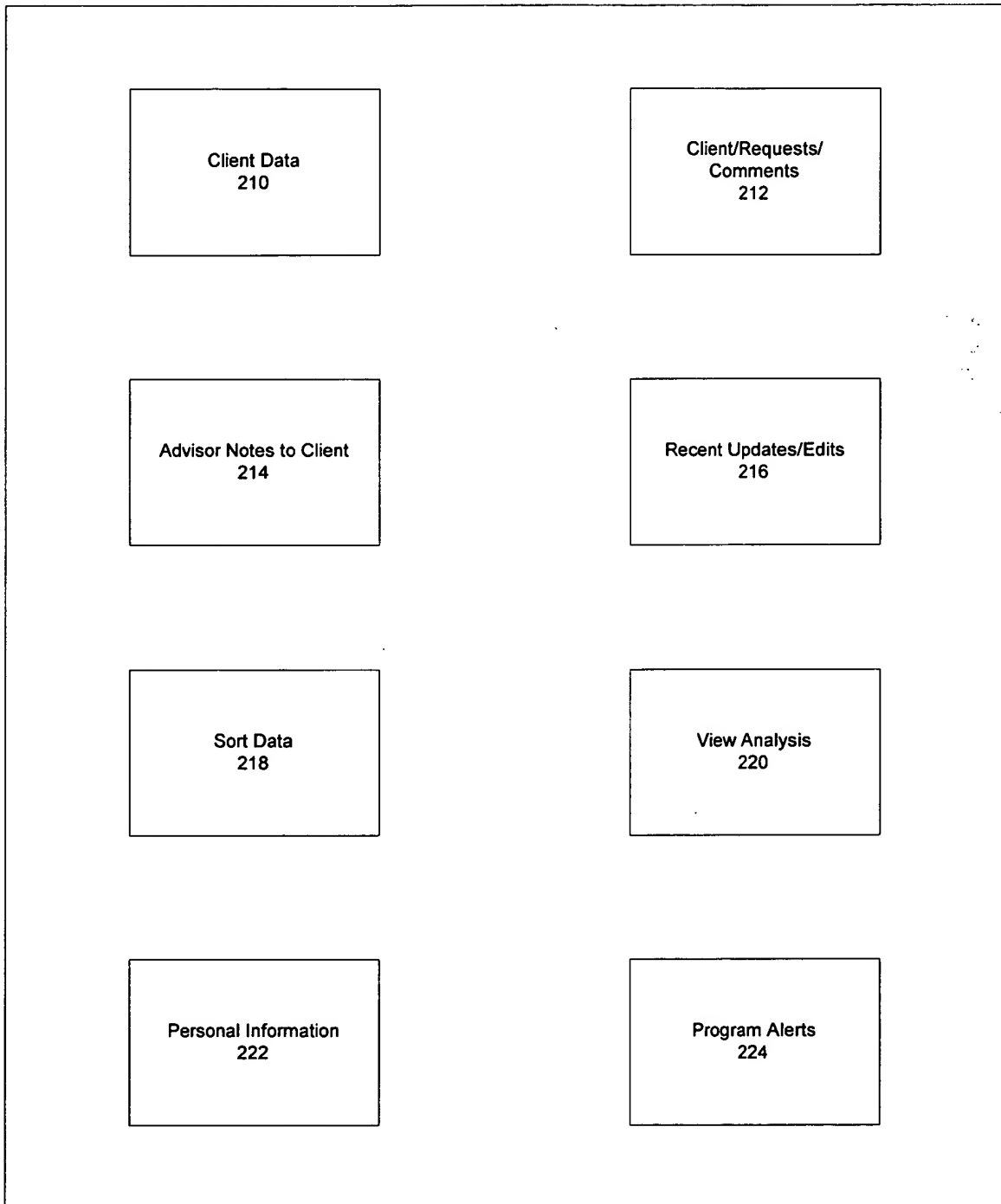


FIG. 2

109050-92672860

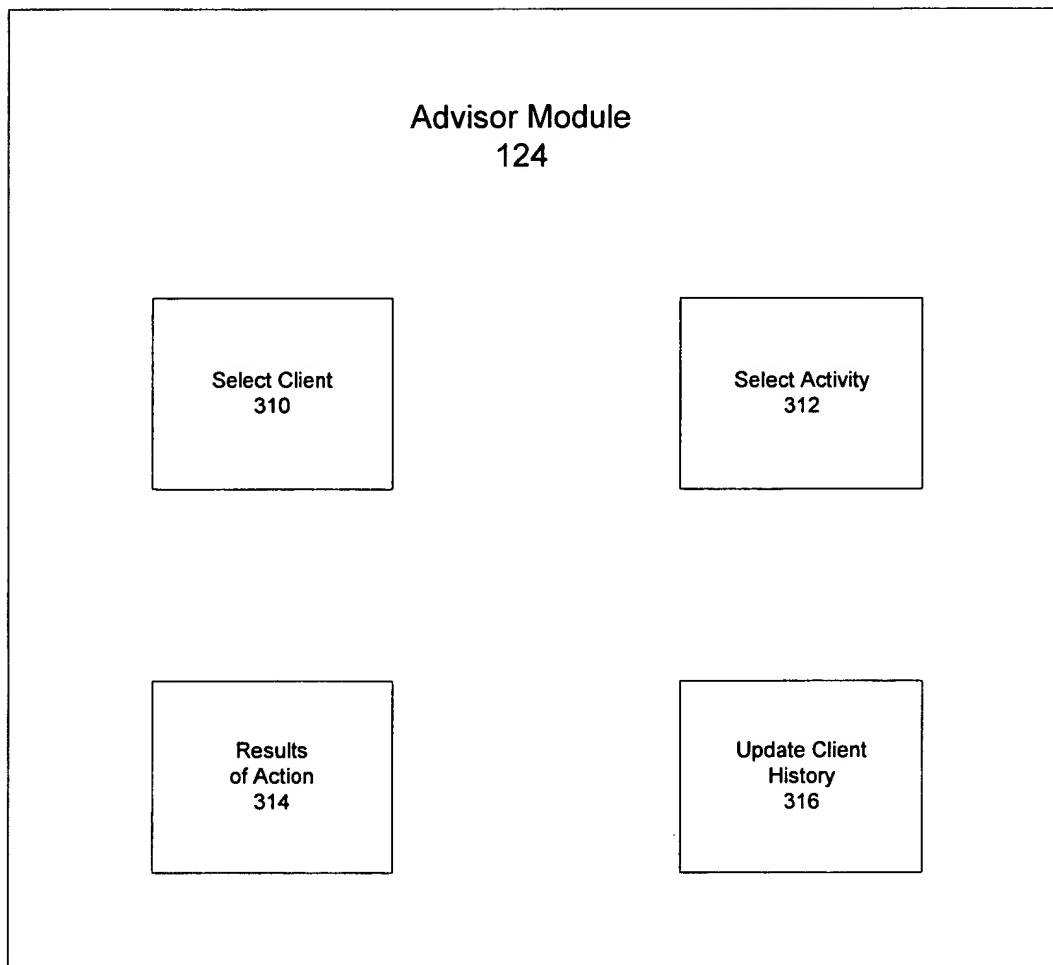
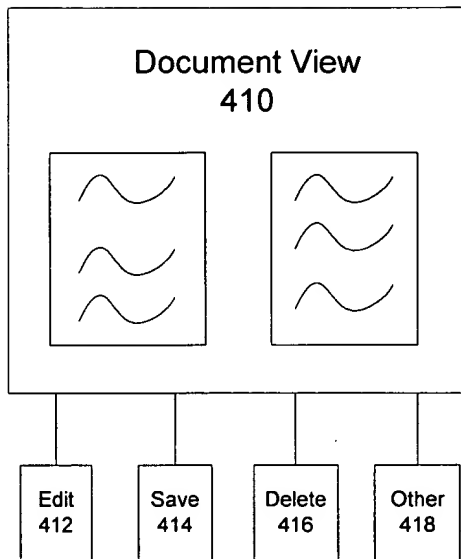


FIG. 3

Collaborative Module  
126



Advisor Input  
420

Posting/Bulletin  
Board  
422

Update  
Information  
424

Participants  
430

Client Data  
432

Client Requests/  
Comments  
434

Real Time Chat  
436

Client History  
438

FIG. 4

109060-926/350

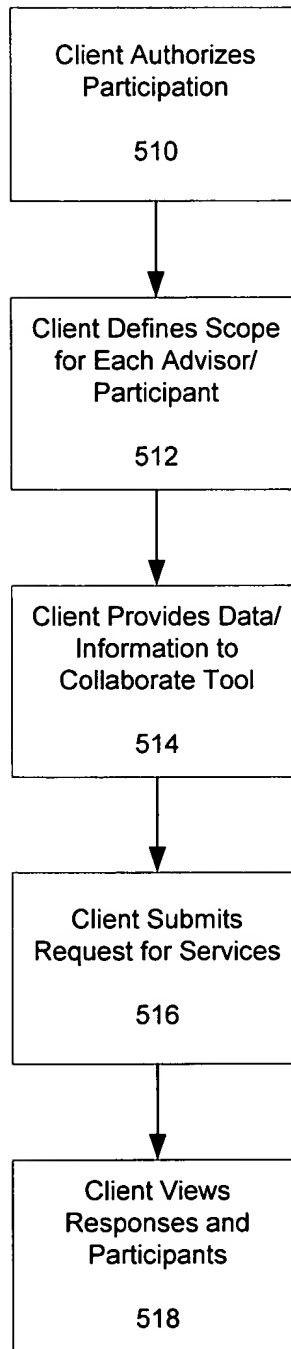


FIG. 5

0967926-090601

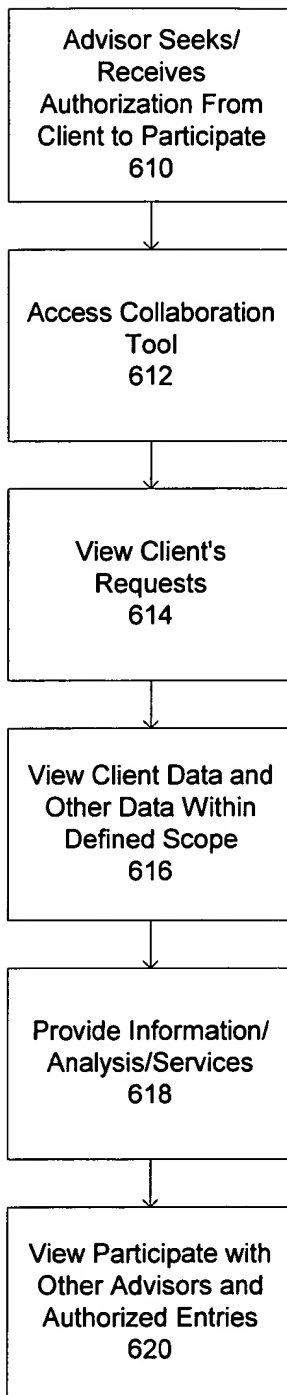



FIG. 6

105060-9267360



### Sign Up Request

Please Fill in the following (all are required). When you are done, press "Next" to continue.

☒ I am an **advisor** and would like to join the next generation of financial advisors  
☐ I am a **client** and would like to build my own powerful financial advisory team.

**Personal Information about yourself:**

<input type="text"/>	First Name
<input type="text"/>	Last Name
<input type="text"/>	Address
<input type="text"/>	City
<input type="text"/>	State
<input type="text"/>	Zip
<input type="text"/>	Phone Number
<input type="text"/>	Email Id

Next 704

702

Done Internet

FIG. 7

Adviser Module 122

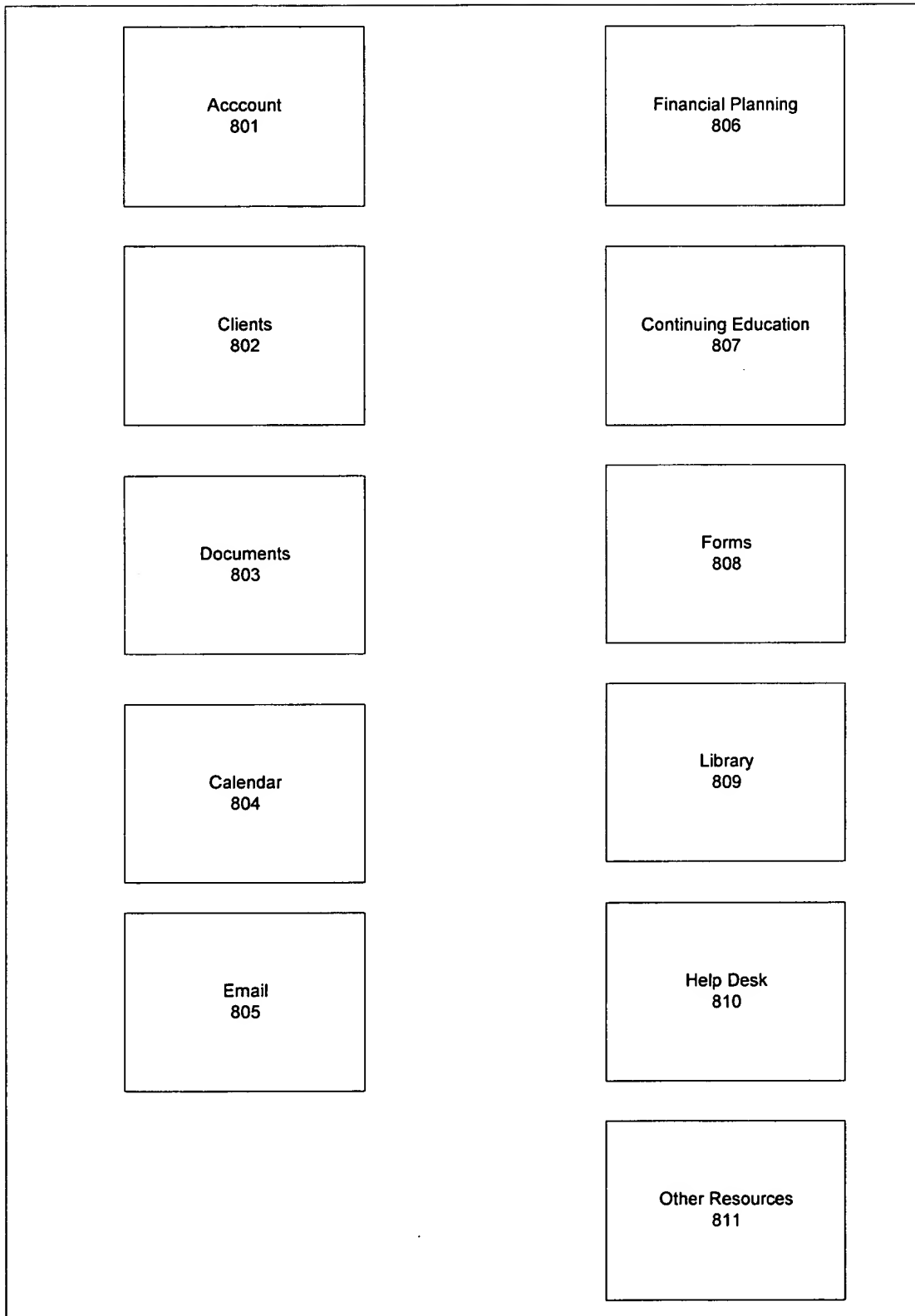


FIG. 8

109060-926/860



Client Module 120

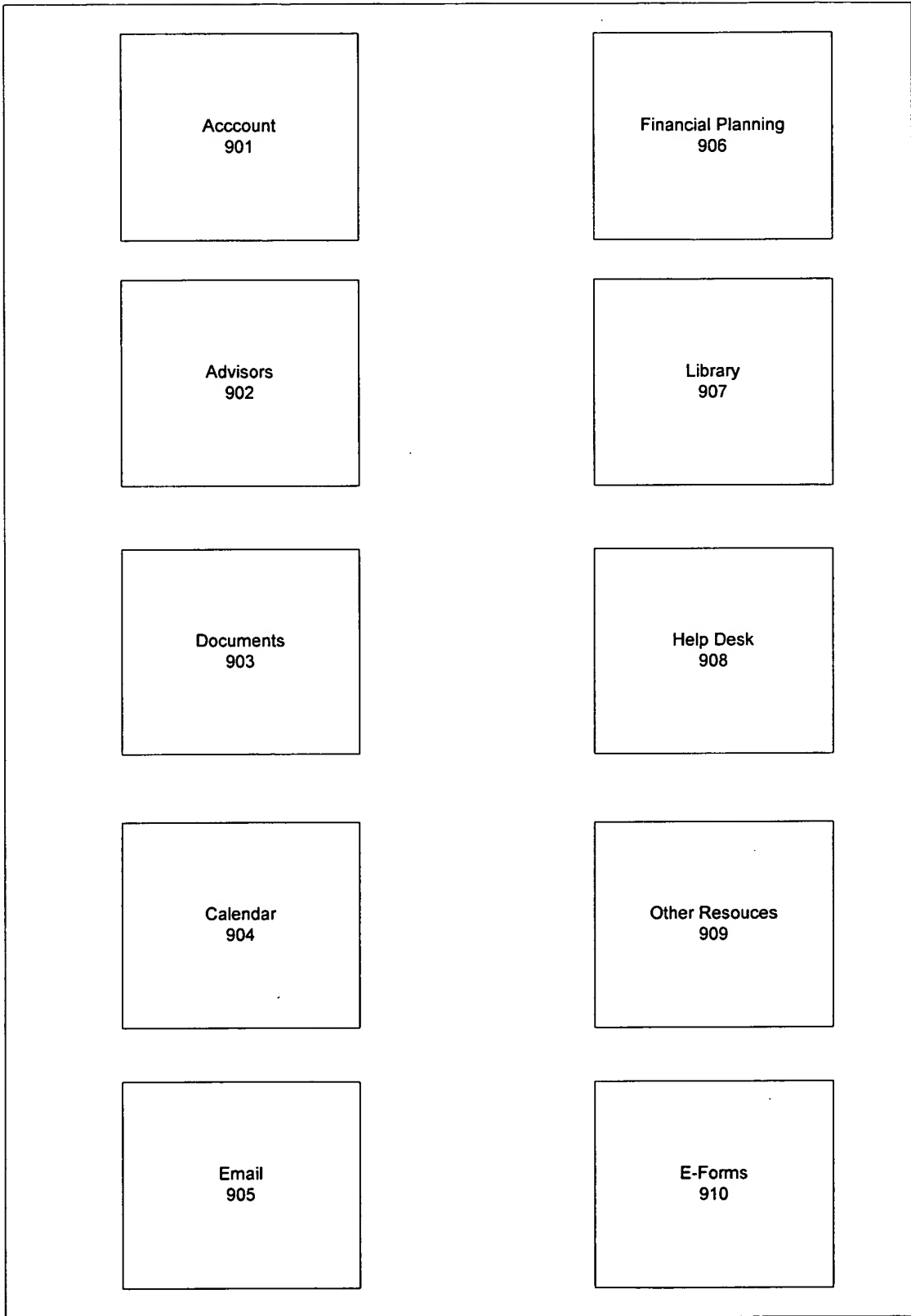


FIG. 9

105060-926/860

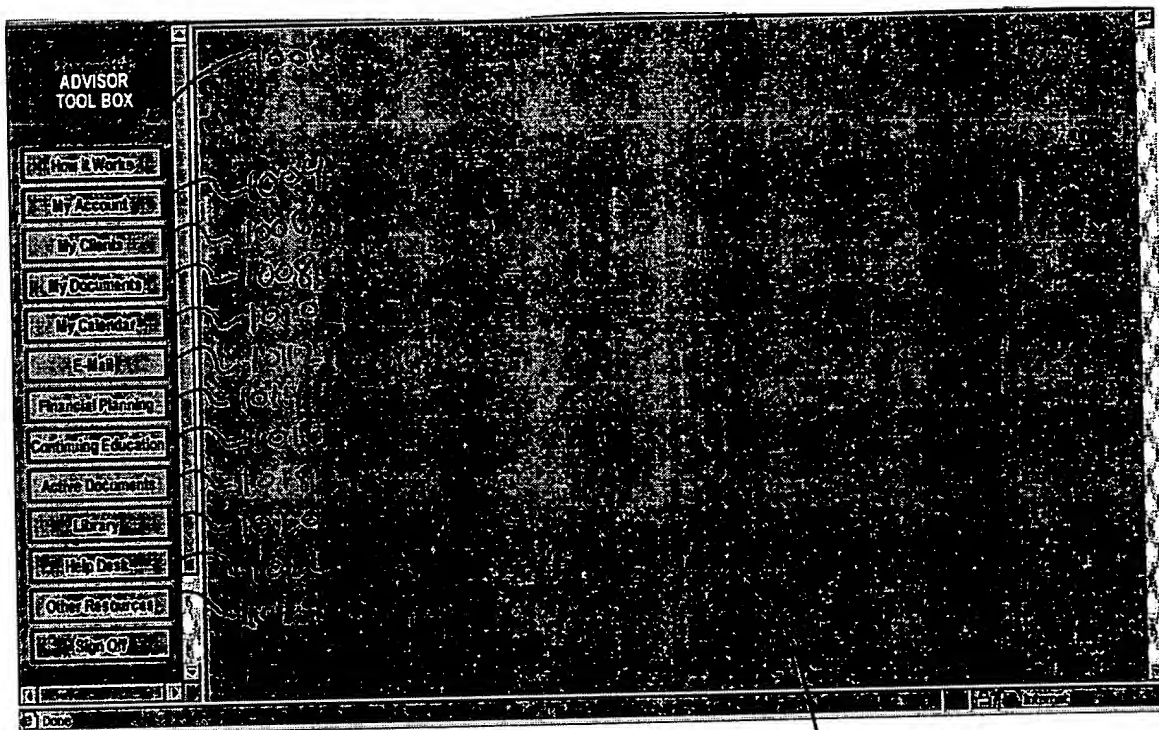


FIG. 10

109060-9267260

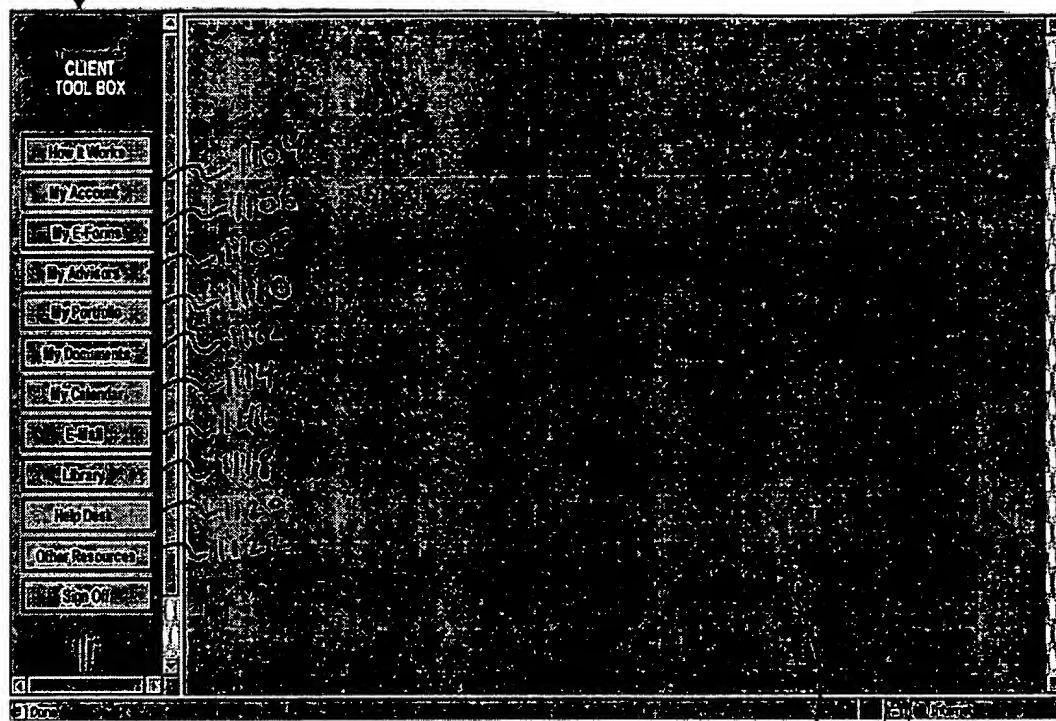


FIG. 11

105050-92677960

ADVISOR  
DOT BOX

How it Works  
My Account  
My Clients  
My Documents  
My Calendar  
E-Mail  
Financial Planning  
Continuing Education  
Active Documents  
Library  
Help Desk  
Other Resources  
Sign Off

1201 1202 1203 1250

My Clients

1200

Select	Login ID	Name	Access	Registered On	Last Signed On
<input type="checkbox"/>	1234	Suzanne Cuccurullo	R	5/1/2001 1:31:21 PM	5/1/2001 1:40:25 PM
<input type="checkbox"/>	mkende	Michael Kende	RWD	3/13/2001 6:04:13 PM	
<input type="checkbox"/>	rmac	Robert MacDonald	RWD	3/13/2001 6:02:05 PM	
<input type="checkbox"/>	pmrobb	Paul Robb	R	2/13/2001 5:19:10 AM	5/15/2001 11:28:42 AM
<input type="checkbox"/>	brs67	Brian S Rosenbloom	R	5/18/2001 11:14:03 AM	5/19/2001 9:03:47 PM

1212 1213 1214 1215 1216 1217

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Internet

FIG. 12

Registration Information (All fields marked with * are required)	
Name (First, Middle, Last)	<input type="text"/>
Email Address	<input type="text"/>
Login Information	
* Login ID	<input type="text"/>
* Password	<input type="password"/>
* Repeat Password	<input type="password"/>
Billing Information	
Description	The charges for this client (5\$/mo.) will be added to your bill.
	<input type="radio"/> I would like to pay by the month (at the price shown above)
	<input type="radio"/> I would like to receive a 20% discount by paying for a full year
<input type="button" value="Sign Up"/> <input type="button" value="Cancel"/>	

1304

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1300

105060-9267960

CLIENT TOOL BOX

- How It Works
- My Account
- My E-Forms
- My Advisors
- My Portfolio
- My Documents
- My Calendar
- E-Mail
- Library
- Help Desk
- Other Resources
- Sign Off

My Advisors

1400

Action	Name	Access	Description	Last Signed On
<a href="#">Delete</a> <a href="#">History</a>	Jane A Does	ALLOW		
<a href="#">Delete</a> <a href="#">History</a>	James G. Gatto	ALLOW		5/19/2001 10:07:23 PM

[Add New Advisor](#) ~ 1410

If your advisor is not online yet: [Click Here](#)

To request your advisor be online: [Click Here](#)

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[Suggestions & Comments](#)

Internet

FIG. 14

Name Search:

1502

Adviser's Name

Specialty (select one or more optional)

1503

☐

Attorney

☐

Accountant

.

.

.

☐

Financial Planner

State (optional)

City (optional)

1504

Search

1506

Specialty Search

Specialty (select one or more)

1507

☐

Attorney

☐

Accountant

.

.

.

☐

Financial Planner

State (optional)

City (optional)

1508

Search

1511




1509

FIG. 15

FIG. 15

1600



Name	Specialty	State	City	Description	Action
John Doe	Attorney	DC	Washington	AV Rated	 1602
Jane Does	Accountant	DC	Washington	CPA	 1602
John Doe	Financial Planner	DC	Washington		 1602

Done

FIG. 16



109050-9267950

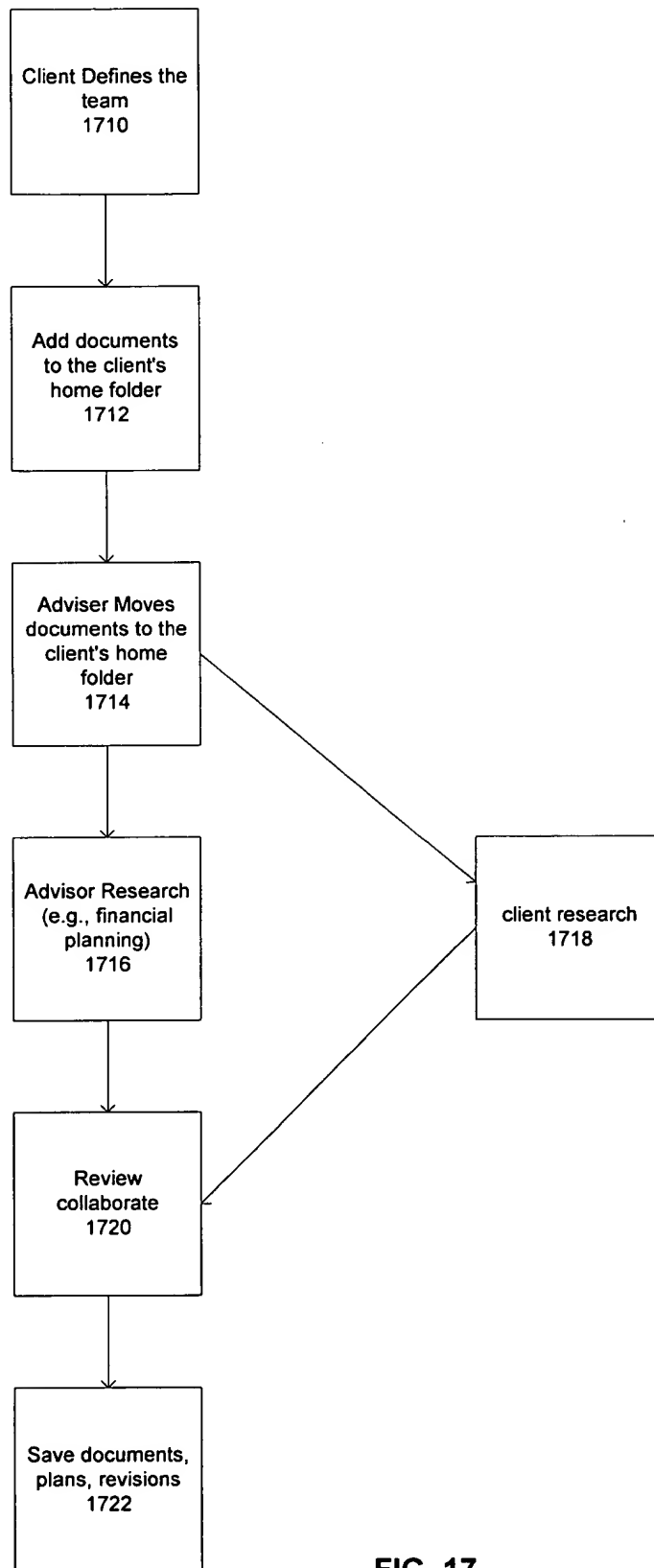


FIG. 17

105050-9267360

1800

1801 1802 1803 1804 1805 1806 1807

1850

1852(a) 1854(a) 1854(b) 1852(b)

**CLIENT TOOL BOX**

How It Works  
My Account  
My E-Forms  
My Advisors  
My Portfolio  
My Documents  
My Calendar  
E-Mail  
Library  
Help Desk  
Other Resources  
Sign Off

**Folders for: Rosenbloom, Brian S**

My Documents <== Currently Open Folder (Contents displayed below)

Select	File Name	Version	Size	Access	Created	Last Changed	Last Changed By	Locked By
<input type="checkbox"/>	Folder 1			RWD	5/18/2001 11:14am			
<input type="checkbox"/>	test2	3	1	RWD	5/19/2001 8:58pm	5/19/2001 9:01pm	Gatto, James	
<input type="checkbox"/>	test2a	1	8	RWD	5/19/2001 9:02pm	5/19/2001 9:02pm	Gatto, James	

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Done

FIG. 18

105060-9267860

1900

**Add Document** HELP

Folder to add document: My Documents 1910

Select document to upload:

Files	Size

1902 Select File Remove File

Document Name: ~ 1912

Email notification? ☒ 1989

Comments 1990

1914

FIG. 19

109060-926/360

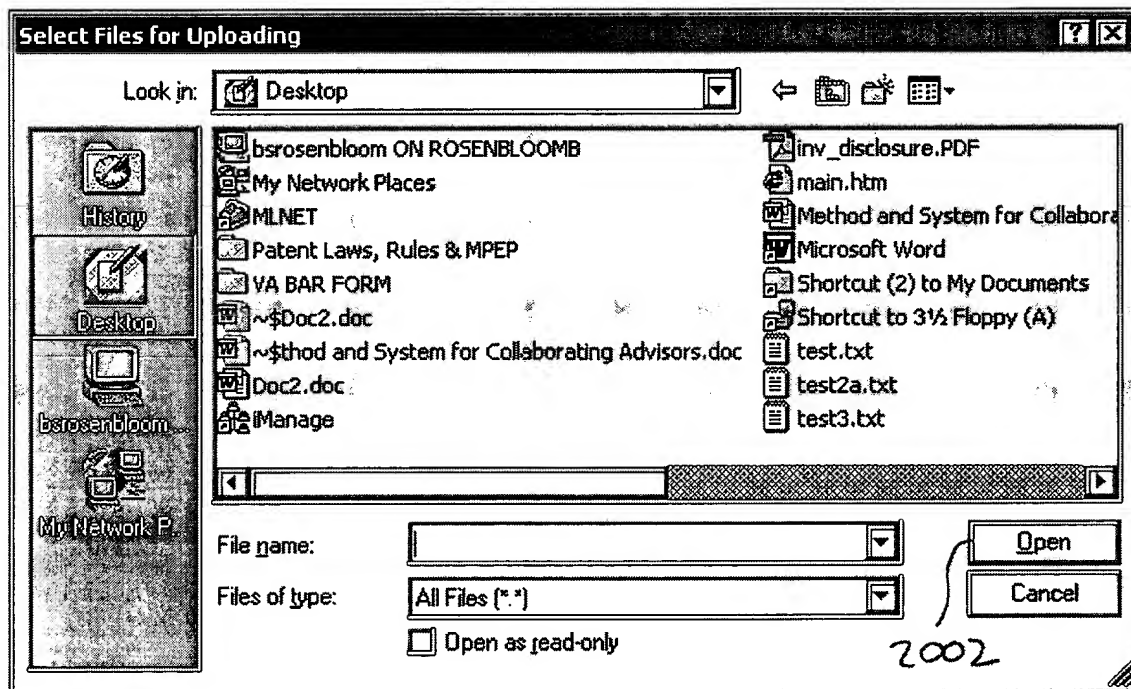


FIG. 20

105050-9267360

2100  
↓

**Create Folder** ? HELP

Create Folder In My Documents

Folder Name

Comments

2102  
↙

FIG. 21

109060-9267360

2200

2201 2202 2203 2204 2205 2206 2207

ADVISOR  
TOOL BOX

How It Works  
My Account  
My Clients  
My Documents  
My Calendar  
E-Mail  
Financial Planning  
Continuing Education  
Active Documents  
Library  
Help Desk  
Other Resources  
Sign Off

2250

Folders for: Gatto, James G.

My Documents <== Currently Open Folder (Contents displayed below)

Select	File Name	Version	Size	Access	Created	Last Changed	Last Changed By	Locked By
<input type="checkbox"/>	<u>My Financial Plans</u>			RWD	2/21/2001 4:10pm			
<input checked="" type="checkbox"/>	<u>test3.txt</u>	1	24	RWD	5/20/2001 3:24pm	5/20/2001 3:24pm	Gatto, James	

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Done

Internet

FIG. 22

2300

## Move Document(s)

HELP

Remember: Make sure the document you are moving is in a format that can be viewed by the intended recipients (see Help for more).

Select a folder to move document(s) to:

- Advisor: Gatto, James (jgatto)
  - Folder: My Documents
  - Folder: My Financial Plans
- Client Kende, Michael (mkende)
  - Folder: My Documents
- Client MacDonald, Robert (rmac)
  - Folder: My Documents

2302

Move

Cancel

Done

Internet

2304

FIG. 23

109060-9267/8660

105060-9267360

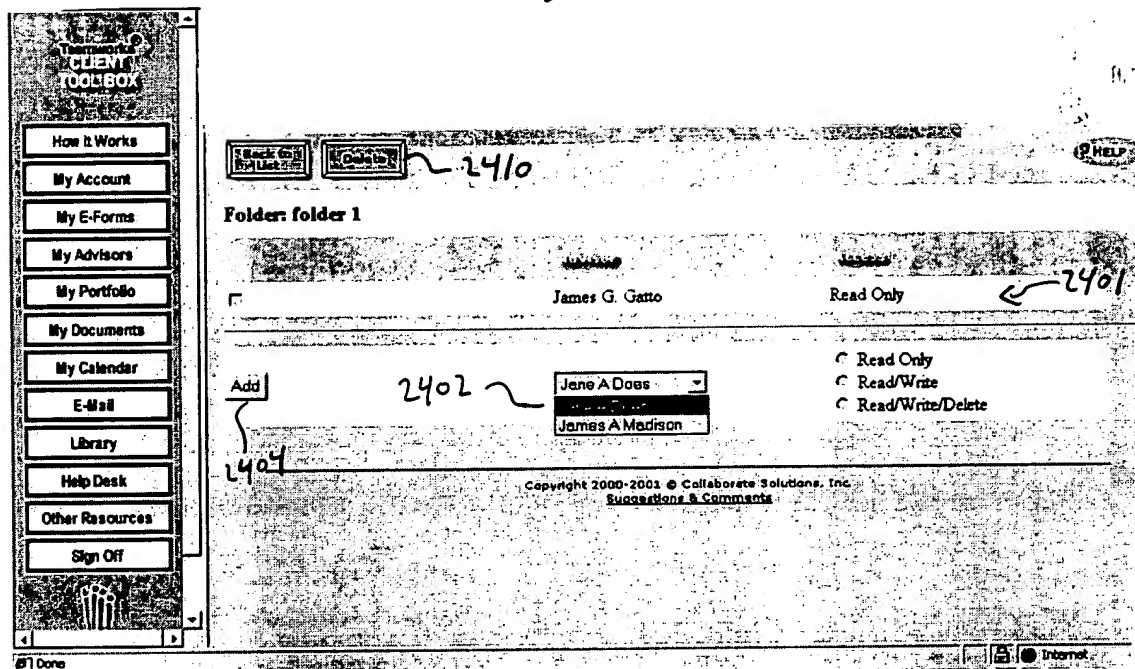


FIG. 24



109060-9267860

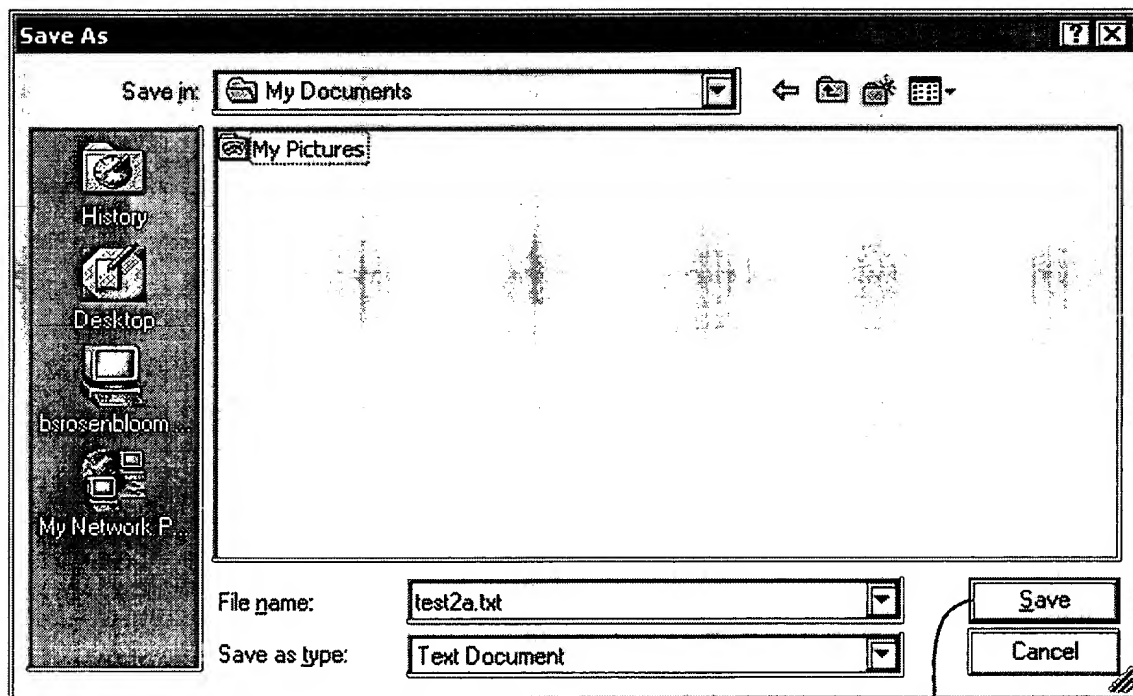


FIG. 25

109060-9267360

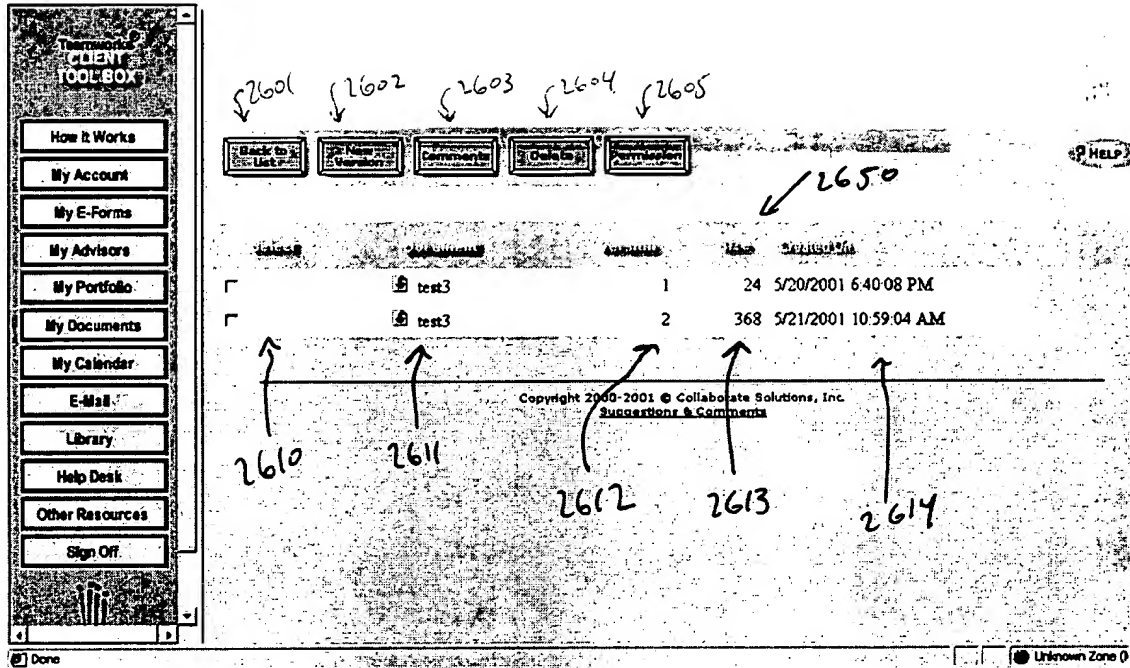


FIG. 26

10500-926/350

2700

### Add Document Version

Document Name: test3

Select document to upload:

Files	Size
2710	

2702 Select File Remove File

Email notification? ☒ 2715

Comments

2714

2716

OK Cancel

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Done Internet

FIG. 27

105060-9267860

2800

**Document Comments**

? HELP

Document Name test3

Comments

2802

Save Back

5/21/2001 10:59:04 AM	Brian S Rosenbloom	Document new version created
5/20/2001 6:40:08 PM	Brian S Rosenbloom	Document initially created

2810

Done Internet

FIG. 28

109060-9267960

2901 2902 2903 2904 2905 2906

2950

2954

2952

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Select	File Name	Version	Size	Access	Created	Last Changed	Last Changed by	Locked By
<input type="checkbox"/>	Folder 1			R	5/18/2001 11:14am			
<input type="checkbox"/>	test2	3	1	RWD	5/19/2001 8:58pm	5/19/2001 9:01pm	Gatto, James	Rosenbloom, Brian
<input type="checkbox"/>	test2a	1	8	RWD	5/19/2001 9:02pm	5/19/2001 9:02pm	Gatto, James	Rosenbloom, Brian
<input type="checkbox"/>	test3	4	367	RWD	5/20/2001 6:40pm	5/21/2001 3:16pm	Gatto, James	

FIG. 29

109060-9267960

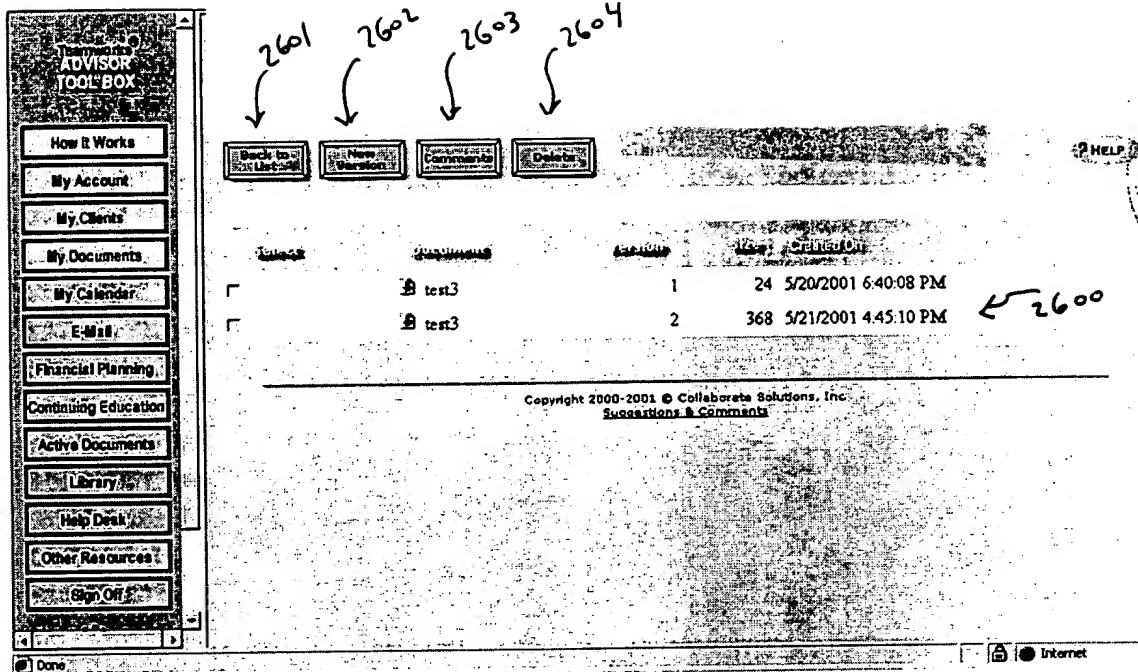


FIG. 30

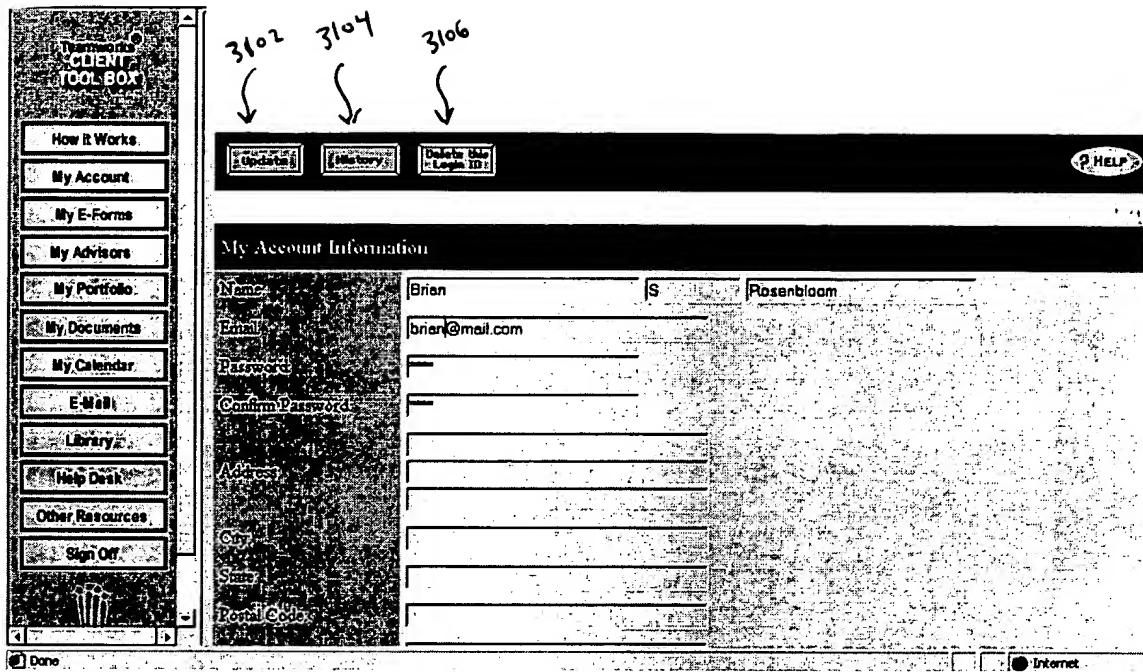


FIG. 31

3200

CLIENT TOOL BOX

How It Works

My Account

My E-Forms

My Advisors

My Portfolio

My Documents

My Calendar

E-Mail

Library

Help Desk

Other Resources

Sign Off

Document	Version	Date	Change Status	Author	Document Folder	Access Status
test doc	1	5/19/2001 2:58:25 PM	add	James G. Gatto	folder 1	
test doc	1	5/19/2001 2:58:34 PM	read	James G. Gatto	folder 1	
test doc	1	5/19/2001 2:59:12 PM	move	James G. Gatto	folder 1	folder 1
test doc	1	5/19/2001 5:15:57 PM	read	Brian S. Rosenbloom	folder 1	
test doc	2	5/19/2001 5:18:36 PM	add	Brian S. Rosenbloom	folder 1	
test doc	1	5/19/2001 5:22:33 PM	read	Brian S. Rosenbloom	folder 1	
test doc	2	5/19/2001 5:23:01 PM	delete	Brian S. Rosenbloom	folder 1	
test2	1	5/19/2001 8:58:24 PM	add	James G. Gatto	My Documents	
test2	1	5/19/2001 8:58:38 PM	read	James G. Gatto	My Documents	

Done

Internet

FIG. 32



109060-926/960

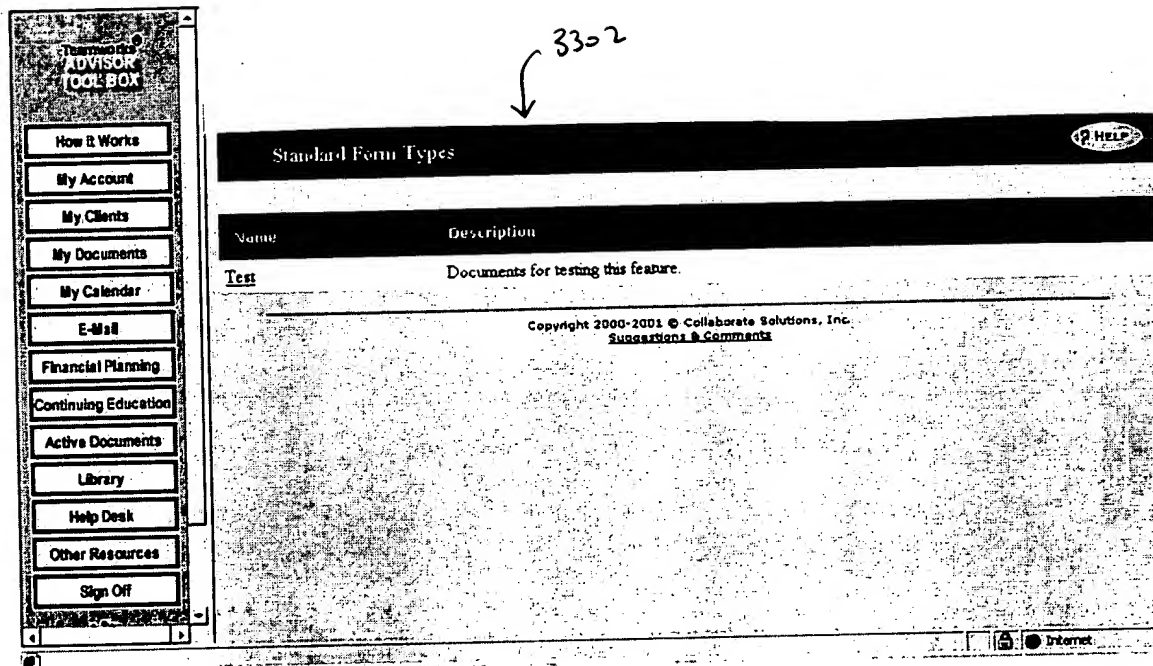


FIG. 33

10960-926/960

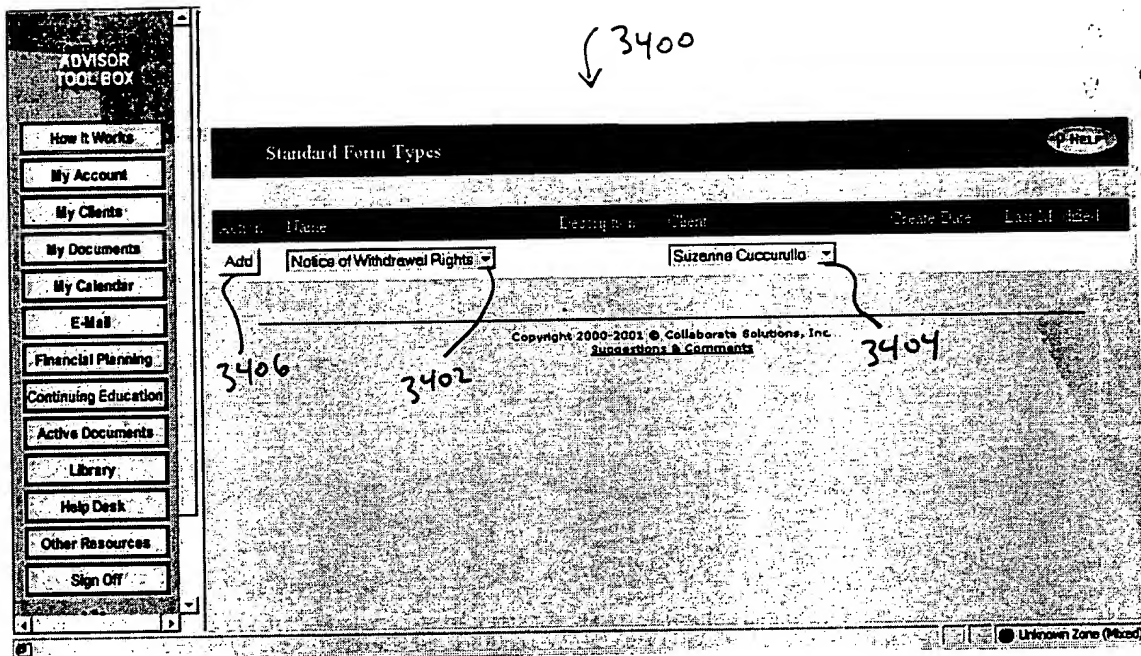


FIG. 34

109060 926 090601

CLIENT TOOLBOX

- How It Works
- My Account
- My E-Forms
- My Advisors
- My Portfolio
- My Documents
- My Calendar
- E-Mail
- Library
- Help Desk
- Other Resources
- Sign Off

3500

### My Forms

Action	Name	Description	Author	Create Date	Last Modified
<a href="#">Edit</a> <a href="#">Delete</a>	Notice of Withdrawal Rights	Notice of Withdrawal Rights	James G. Gatto	5/22/2001 12:52:36 PM	5/22/2001 12:52:36 PM

3503 3502 3501 3504 3505 3506 3507

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Done Unknown Zone DEX

FIG. 35

109060-9267860

3600

My Forms

Form Name

Form Description

Name of trust

Beneficiary Name

Husband First Name

Husband's Last Name

Wife First Name

Wife Last Name

Gender of Insured/Grantor

Trustee name

Number of trustees

Co-Trustee name

Notice of Withdrawal Rights

Notice of Withdrawal Rights

male

female

entity

one

multiple

Save Back

Done

Unknown Zone (M)

3602

FIG. 36

105050-9267860

CLIENT TOOL BOX

- How It Works
- My Account
- My E-Forms
- My Advisors
- My Portfolio
- My Documents
- My Calendar
- My E-Mail
- Library
- Help Desk
- Other Resources
- Sign Off

My Forms

Action	Name	Description	Advisor	Create Date	Last Modified
Delete Done	Notice of Withdrawal Rights	Notice of Withdrawal Rights	James G. Gatto	5/22/2001 12:52:36 PM	5/22/2001 1:12:20 PM

3500

3702

3503

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Done

Unknown Zone (Moz)

FIG. 37

3400

ADVISOR TOOL BOX

- How It Works
- My Account
- My Clients
- My Documents
- My Calendar
- E-Mail
- Financial Planning
- Continuing Education
- Active Documents
- Library
- Help Desk
- Other Resources
- Sign Off

Standard Form Types

HELP

Action	Name	Description	Client	Create Date	Last Modified
Delete	3801	Notice of Withdrawal Rights	Brian S Rosenbloom	5/22/2001 12:52:36 PM	5/22/2001 1:15:20 PM
Edit	3802	Notice of Withdrawal Rights			
File					
Add	Notice of Withdrawal Rights		Suzanne Cuccurullo		

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Done Internet

FIG. 38

## Additional Modules 3901

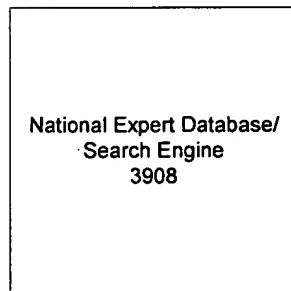
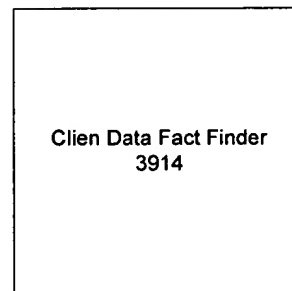
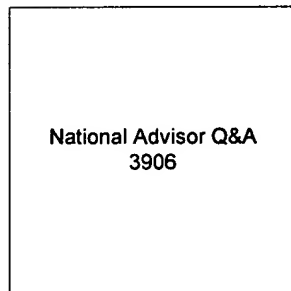
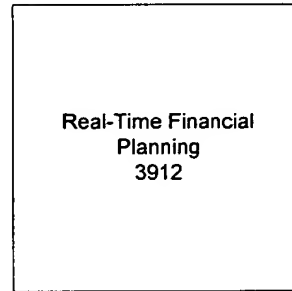
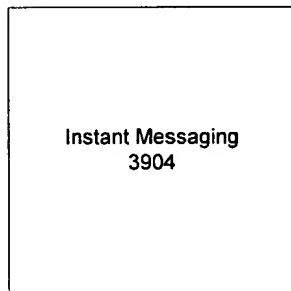
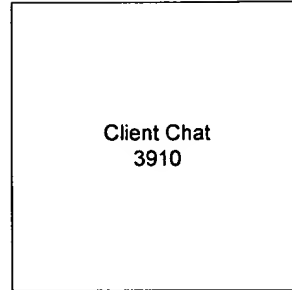
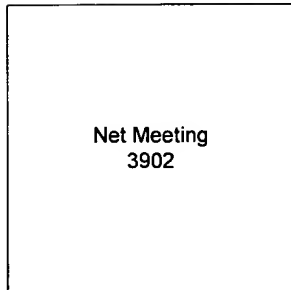


FIG. 39

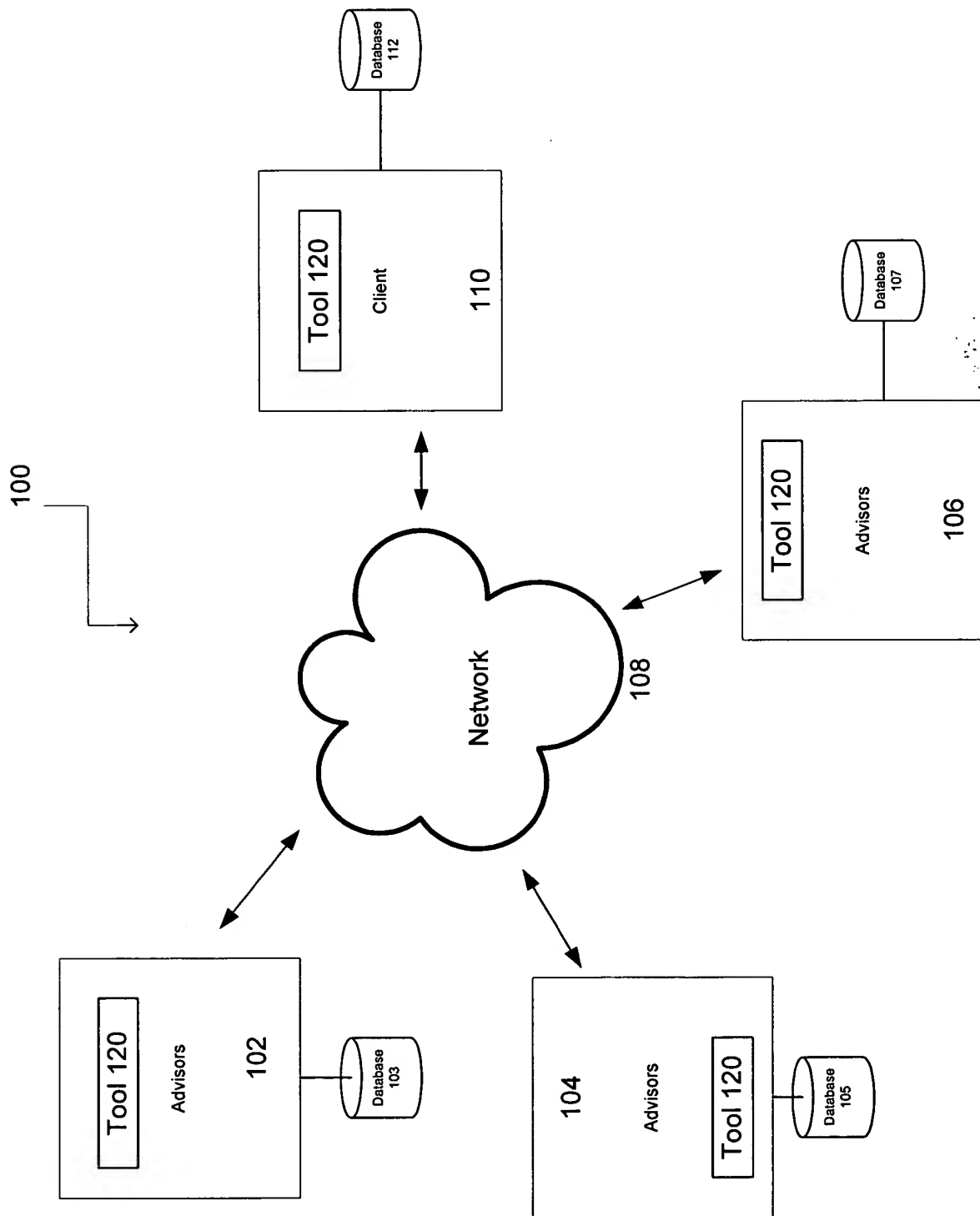


FIG. 40



109060-9267/860

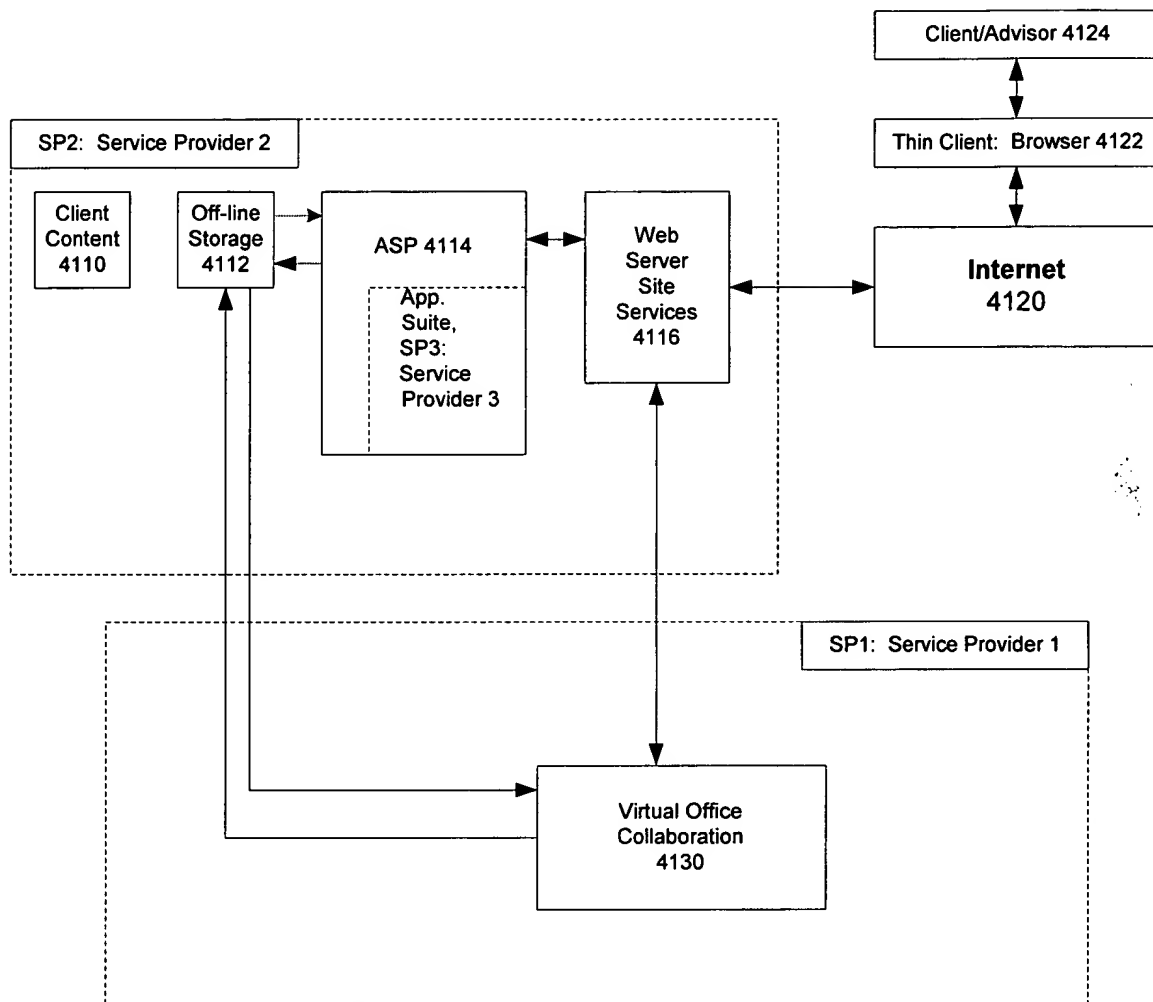


FIG. 41

109050-92677860

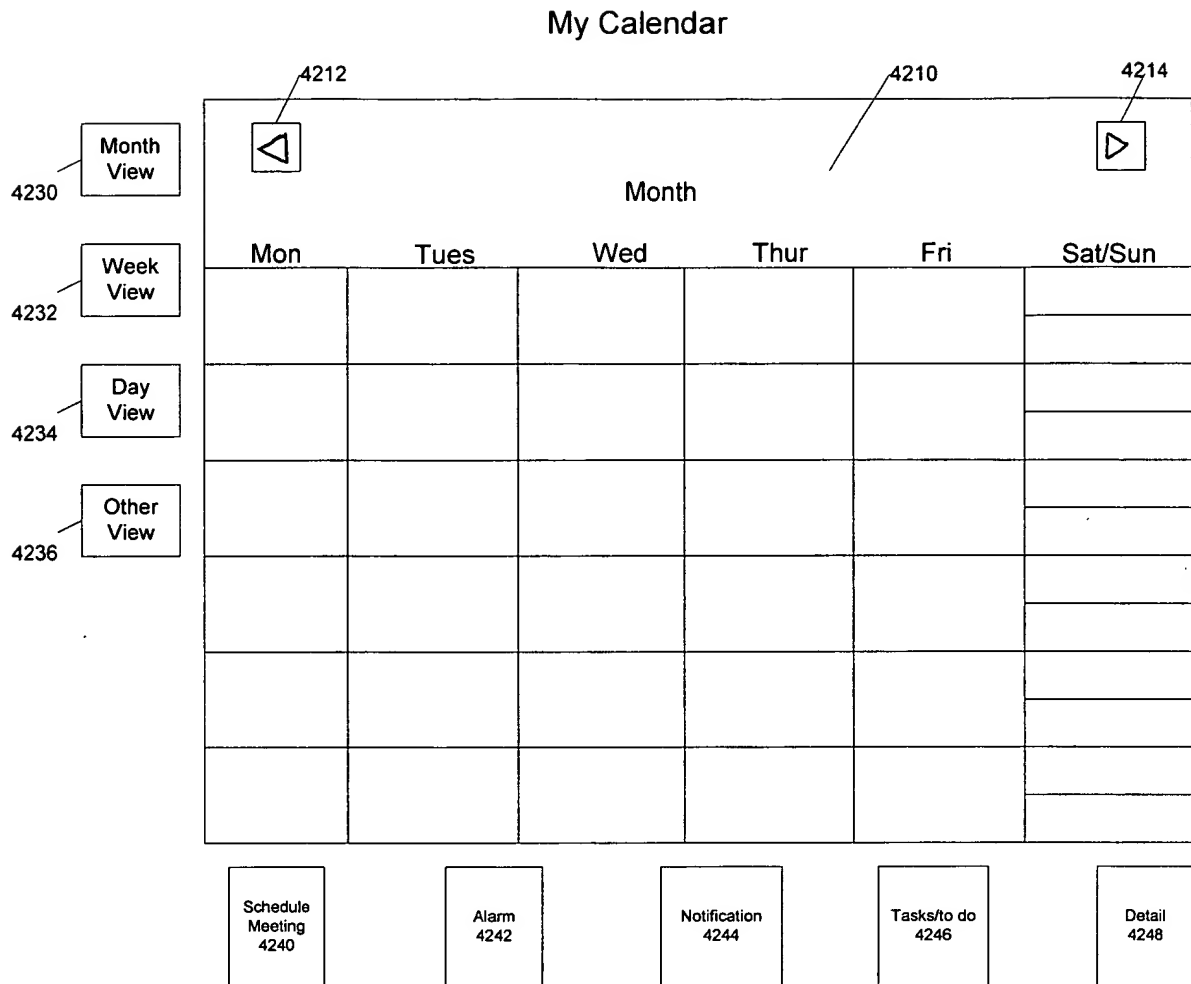


FIG. 42

109060-9267860

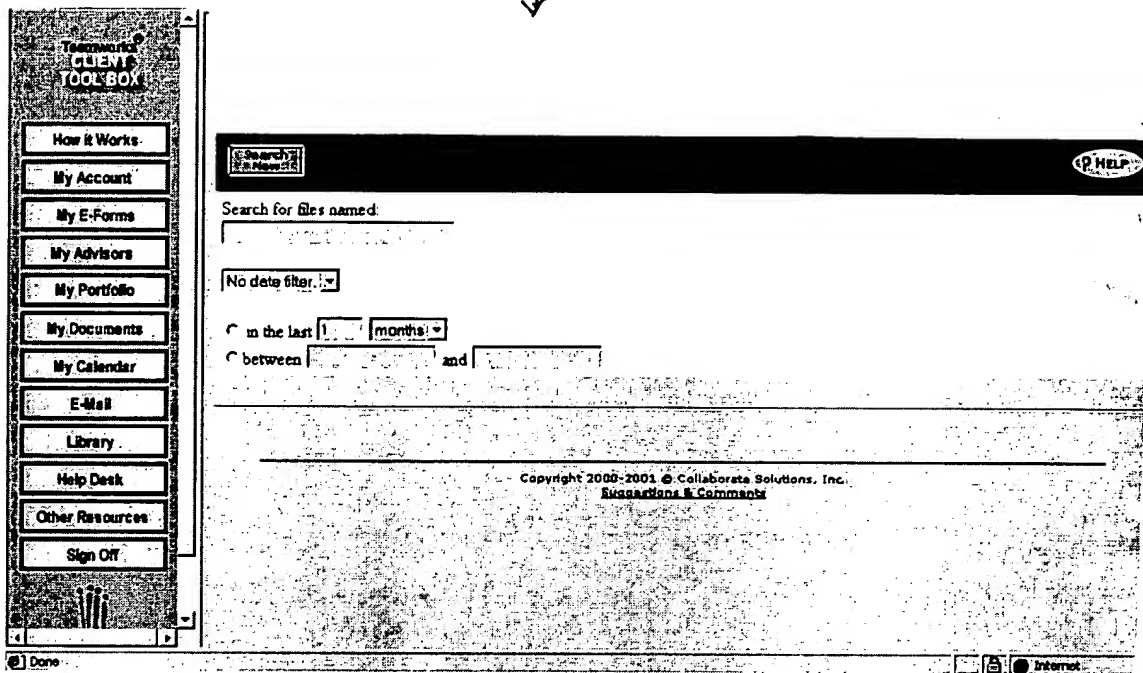


FIG. 43